

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Attorney Docket No.: W1028.152-US-01

Formerly 136.167

LAMBERT, Sylvain

Confirmation No.: 1649

Application No.: 10/018,318

PTO Customer No.: 35110

[Formerly 023907]

Date National Phase entered:

December 13, 2001

For: LIST SYSTEM FOR THE RETURN OF INFORMATION CONCERNING THE  
DISTRIBUTION OF ITEMS SENT BY MAIL OR PARCEL POST

PETITION UNDER 37 CFR 1.182 TO CORRECT THE IDENTIFICATION OF  
AN INTERNATIONAL APPLICATION THAT HAS ENTERED THE NATIONAL  
PHASE

BOX PCT

Attention: PCT Legal

Assistant Commissioner for Patents

Washington, D.C. 20231

**RECEIVED**  
MAY 28 2003  
**GROUP 3600**

Sir or Madam:

This is a Petition to correct the identification of the international application for  
the above-identified national phase patent application.

03/20/2003 SNAJARRO 00000107 10018318

Statement of Facts:

01 FC:1617

130.00 OP

The following items, copies of which are attached hereto, were filed with the US  
PTO by depositing them as Express Mail on December 14, 2001, in order to enter the  
national phase of international application PCT/FR01/01002:

1. Express Mail Certificate of Mailing
2. Transmittal Letter (PTO form 1390)

3. Preliminary Amendment including substitute specification
4. Certified translation of PCT/FR01/01002
5. Declaration signed by Sylvain Lambert
6. IDS
7. Assignment, Recordal Sheet and Check for \$40
8. Check for \$890
9. Post Card listing the above items

These items were filed by Mr. Nilles of Nilles & Nilles, S.C.

Most importantly, on several of these items, including the Declaration and the Certified translation of application PCT/FR01/01002, the international application was correctly identified as PCT/FR01/01002. The translation submitted is the English translation of the PCT/FR01/01002 application.

However, on several other of these items, including the Transmittal letter (PTO form 1390), the Express Mail Certificate of Mailing, the Preliminary Amendment, and the Post Card, the international application number was mistakenly identified as PCT/FR00/01002, rather than what it should have been: PCT/FR01/01002.

The filing receipt (copy attached) was received by the Nilles law firm in March, 2002. The filing receipt listed the incorrect international application number, namely, PCT/FR00/01002; along with Foreign Applications information and Title corresponding to that incorrect international application number. In May 2002, Mr. Nilles attempted to correct the filing receipt by sending a letter to OPIE (copy attached) changing the Foreign Application information and Title, without realizing that the international application number was incorrect. To date, a corrected filing receipt has not been received from the PTO.

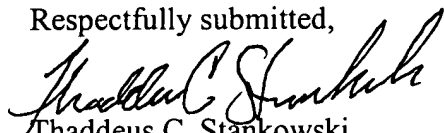
Shortly after the above-identified patent application was published on January 16, 2003, Petitioner noticed that the incorrect international application number, Foreign Applications priority information and Title were printed on the publication.

Petitioner asserts that the mistaken identification of the international application on the above-mentioned items was inadvertent. Further, Petitioner asserts that Petitioner has just recently become aware of this mistaken identification.

Petitioner therefore requests the identification of the international application be corrected in the above-identified application.

A check in the amount of \$130.00, the fee set forth in Section 1.17(h), is attached hereto. Please charge any additional fees due or credit any overpayment to Deposit Account No. 50-2522 as needed to ensure prompt attention to the above-identified request.

Respectfully submitted,



Thaddeus C. Stankowski

Attorney for Applicant

Registration No. 45,522

Dated:

3/13/03

Customer No. 35110

Patterson, Thuente, Skaar & Christensen, LLC

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CERTIFICATE OF MAILING

I hereby certify that this document is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

13 March 2003

Date of Deposit



Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL CERTIFICATE OF MAILING

National Phase Patent Application Filed Under 35 U.S.C. 371

International Application No. PCT/FR00/01002

Inventors: Sylvain Lambert

Title: *List System for the Return of Information Concerning the Distribution of Items  
Sent by Mail or Parcel Post*

Attorney Docket: 136.167

Customer No. 023907

EL844879236US

Express Mail Label No. EL844879236US

Date of Deposit: December 13, 2001

I hereby certify that the following attached documents are being deposited with the United States Postal Service in "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the U.S. Patent & Trademark Office, PO Box 2327, Arlington, VA 22202.

Transmittal letter dated December 13, 2001

English-language translation of PCT application as filed: specification (11 pages), six claims, and five sheets of drawings.

Preliminary Amendment, substitute specification (11 pages), six claims, Abstract, and Version With Markings to Show Changes Made.

Declaration

Information Disclosure Statement, International Search Report, and references

Assignment, Recordal Sheet & \$40 check

\$890 check

Postcard

  
Diane Schwaiger

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

136.167

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.

PCT/FR00/01002

INTERNATIONAL FILING DATE

4 April 2001

PRIORITY DATE CLAIMED

14 April 2000

TITLE OF INVENTION List System for the Return of Information Concerning the  
Distribution of Items Sent by Mail or Parcel Post

APPLICANT(S) FOR DO/EO/US

Sylvain Lambert

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☒ A substitute specification, claims and abstract.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

21. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO ..... \$1040.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... \$890.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$740.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

**CALCULATIONS PTO USE ONLY**

\$890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ --

| CLAIMS                                      | NUMBER FILED | NUMBER EXTRA | RATE       | \$        |
|---|--------------|--------------|------------|-----------|
| Total claims                                | 6 - 20 =     | 0            | x \$18.00  | \$ --     |
| Independent claims                          | 1 - 3 =      | 0            | x \$84.00  | \$ --     |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) |              |              | + \$280.00 | \$ --     |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>        |              |              |            | \$ 890.00 |

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

\$ 890.00

\$ --

**SUBTOTAL =**

\$ 890.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ --

**TOTAL NATIONAL FEE =**

\$ 890.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

**TOTAL FEES ENCLOSED =**

\$ 930.00

|                           |    |
|---------------------------|----|
| Amount to be<br>refunded: | \$ |
| charged:                  | \$ |

a. ☒ A check in the amount of \$ 890 & \$40 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 14-1080. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

## SEND ALL CORRESPONDENCE TO:

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*James E. Nilles*  
SIGNATURE

James E. Nilles  
NAME

16,663

REGISTRATION NUMBER

December 13, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

National Phase of PCT/FR00/01002

International Filing Date: 4 April 2001

Inventor: Sylvain Lambert

Title: *List System for the Return of Information Concerning the Distribution of Items Sent by Mail or Parcel Post*

Priority: French Application No. 00 04807; Filed 14 April 2000

Attorney Docket: 136.167

Customer No. 023907

PRELIMINARY AMENDMENT

DO/EO/US  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This Preliminary Amendment is directed to a new U.S. application as identified above.

Please enter this preliminary amendment prior to calculating the fees.

Please substitute the attached specification, claims, and abstract (12 pages) and use the substitute application for examination purposes.

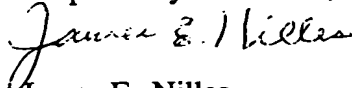
REMARKS

The substitute application has been amended to insert headings in the specification, to eliminate the multiple dependencies and the element numbers in the claims, and to conform the Abstract in accordance with U.S. Patent Office practice. A marked-up version of the amendments to the claims is attached and entitled *Version with Markings to Show Changes Made*.

Preliminary Amendment - Sylvain Lambert  
Attorney Docket 136.167  
Page 2

Entry of the amendments and early consideration and allowance are respectfully  
requested.

Respectfully submitted,



James E. Nilles

Registration No. 16,663

Date: December 13, 2001

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## CLAIMS

We claim:

1. List system intended as part of a computerised object follow-up for managing return information concerning the distribution of postal objects or objects sent by parcel post to their recipient in exchange for a proof of distribution, such as the signature, said system being characterised in that it includes :

- distribution lists for agents ensuring distribution, said lists being documents formed of a single sheet [(1)] whose front side comprises, for allocation to an object, an area [(10)] subdivided into compartments, including a counterfoil [(11)] intended to remain on said sheet and for receiving via printing the information concerning said object in a code form, and a compartment [(12)] able to be detached, either to remain on the document as proof of distribution or be detached so as to form a non-delivery notice label, and
- withdrawal note cards [(2)] which are personalised by affixing to them, in a frame [(20)] reserved for this purpose, said non-delivery notice label [(12)].

2. List system according to claim 1, characterised in that each of said areas [(10)] comprises an additional compartment [(13)] for constituting a second detachable notice of receipt label, a notice of receipt card [(3)] also being provided and personalised by affixing said second label in a frame [(30)] reserved for this purpose.

3. List system according to claim 1 [or 2], characterised in that said distribution list [(1)] comprises a plurality of areas [(10)] in the form of vertically juxtaposed rectangles.

4. List system according to [one of claims 1 to 3] claim 1, characterised in that said sheet [(1)] constituting the distribution list is an adhesive complex comprising a support back and a detachable self-adhesive film.

5. List system according to [one of claims 1 to 4] claim 1, characterised in that said sheet [(1)] has a standard format so as to facilitate its filing.

6. List system according to [one of claims 1 to 5] claim 1, characterised in that said sheet [(1)] comprises on one of its sides perforations [(15)] enabling it to be classified.

LIST SYSTEM FOR THE RETURN OF INFORMATION CONCERNING  
THE DISTRIBUTION OF ITEMS SENT BY MAIL OR PARCEL POST

5

BACKGROUND OF THE INVENTION

1. Field of the Invention

The present invention concerns the processing of information relating to the distribution of postal or parcel post items. It is applicable to all cases  
10 when a signature is required from the addressee so as to constitute proof of distribution and in particular to registered dispatches with and without acknowledgement.

The return of information concerning distribution by computer means is a dominant trend concerning the transport market. The invention has been  
15 embodied to fall within this context, that is in a system for the computer follow-up of items in which during handing in all the information useful for transport are transcribed into a bar code able to be read and recorded by portable distribution terminals held by the personnel concerned.

2. Discussion of the Related Art

20 At the current moment, the management of the return of information concerning distribution is ensured with the aid of paper lists, such as the list to send by post a registered object including on a self-adhesive rear side three sheets constituting respectively proof of handing in, notice of non-delivery and proof of distribution, plus as an option an additional sheet concerning  
25 acknowledgement.

As currently made use of, that is basically manually, these paper lists have a certain number of drawbacks, namely in particular :

- their high cost price ;
- their multiplicity within the context of postal applications where  
30 there is a specific list for each particular service ;

- the impossibility of automating their processing on the sending and return of acknowledgements ;
- the lack of reliability concerning the return of acknowledgements, the address often being incorrectly duplicated and unable to be exploited owing to their positioning at the bottom of the paper list, and also the light and fragile nature of said lists rendering them subject to deterioration or loss.

As the above list only represents some of these drawbacks, plus the fact that it would be necessary to design these forms in order to adapt them to said computer processing, it has been considered having said forms replaced by an entirely new product constituting a more satisfactory global response, said product being particularly designed for a computer processing concerning object follow-up and having regard to the evolution possibilities of this computer processing.

#### OBJECTS AND SUMMARY OF THE INVENTION

Thus, within the context of a computerised follow-up of objects, the invention consists of a new list system for managing return information concerning the distribution of objects sent by postal means or parcel post to their addressee in exchange for proof of distribution, such as the signature, said system being characterised in that it includes :

- distribution lists for agents ensuring distribution, said lists being documents formed of a single sheet whose front side comprises, for allocation to an object, an area subdivided into compartments including a counterfoil intended to remain on said sheet and receive via printing the information concerning said object in the form of a code, and a detachable compartment, either to remain on the document as proof of distribution or be detached so as to form a non-delivery notice label, and

- withdrawal note cards which are personalised via the affixing in a rectangular space reserved for this purpose of said non-delivery notice label.

According to another characteristic of the invention, each of said areas  
5 comprises an additional compartment for constituting a second detachable notice of receipt label, a notice of receipt card also being provided rendered personalised by affixing said second label in a rectangular space reserved for this purpose.

According to other preferential and/or advantageous characteristics of  
10 the invention:

- said distribution list comprises a plurality of areas in the form of vertically juxtaposed rectangles ;
- said sheet constituting the distribution list is an adhesive complex comprising a support back and a self-adhesive detachable film ;
- 15 - said sheet has a standard format to facilitate filing, and can comprise on one of its sides perforations to classify it.

#### BRIEF DESCRIPTION OF THE DRAWING

These characteristics and advantages of the invention and others shall appear more clearly in the following description with reference to the  
20 accompanying drawings on which :

Figure 1 is a bird's eye view of a distribution list according to the invention prior to use and provided for the sending of postal objects to be signed on delivery ;

Figs 2 and 3 are bird's eye views respectively of a withdrawal note  
25 card and a notice of receipt card provided to be used with the distribution list of fig 1 ;

Figs 4, 5 and 6 are bird's eye views respectively illustrating by way of example a given list as it appears before the distributing agent goes on his

round, when he returns from his round, and after processing following his round, and

Figs 7 and 8 are bird's eye views respectively of a non-delivery notice label and a receipt notice label which have been extracted from the list of  
5   figs 4 to 6 so as to be glued respectively onto a withdrawal notice card and a receipt notice card.

#### DESCRIPTION OF THE PREFERRED EMBODIMENTS

The list system shown on the drawings is intended to be used as part of a computerised follow-up of registered postal dispatches which have been  
10   initially marked directly or by means of a label of a code, here a bar code, which contains their identification and all the information useful in routing them in particular conditions. In the distribution stage, the agents have a portable terminal enabling them to process the information relating to their intervention with the aid of said code present on the objects and with the list  
15   system of the present invention.

Said system comprises a distribution list shown on figure 1 in the form of a sheet 1, certain portions of said list being able to be detached so as to constitute labels 12 and 13 which are then used to be glued onto standard withdrawal note cards 2 and notice of receipt cards 3 for providing them with  
20   all the useful information concerning the dispatches concerned.

As shown on figs 3 and 4, the cards 2 and 3 are non-personalised before receiving their label in the rectangular space reserved for them, respectively 20 and 30. The withdrawal note card 2 has on its front side a second rectangular space 21 for receiving the address and telephone number  
25   of the post office and conventional information to be completed by the distributing agent, including any reason for non-distribution and information relating to withdrawal. The front side of the notice of receipt card 3 also has here a second frame 31 for receiving the date of distribution and in addition a lower indexing rectangular space 32 for computer reshipment processing. The

cards 2 and 3 advantageously have the format of letter-cards and are differentiated by virtue of their colours which in practice can be those of their homologues of current multi-part forms with reserved white spaces, said rectangular spaces 20, 21, 30-32 and other portions being intended to receive  
5 personalised information and notes. It is to be noted in addition that the notice of receipt card 3 comprises on one side a self-adhesive strip 33 able to be detached by tearing along a line of perforations.

With reference again to figure 1 showing the distribution list, the sheet 1 constituting it advantageously has a standard format (21 and 29.7 cm) and is  
10 formed in an adhesive complex including a support back and a self-adhesive film able to detached from the latter. In the present case, the film shall be precut as shown by the bold lines so as to selectively enable said labels 12 and 13 to be removed, whereas its other portions shall remain on the support back.

15 The sheet 1 is in fact a distribution list for a plurality of dispatches, namely four in the embodiment shown, and to this effect has four superimposed rectangular areas 10 each intended to be allocated to one dispatch. The upper portion of the list above the areas 10 is reserved for the distributing agent to enter useful information relating to its round, such as its  
20 identification number, its total number of objects, the number allocated to the list and the number of objects it applies to. Similarly, the lower portion of the list below the areas 10 comprises information, such as codes for the reasons for non-distribution and their significance. As a variant and so as to provide improved adaptability in relation to any possible changes, this information  
25 can only be entered during the final printing stage of the list. Secondly, the sheet 1 comprises on one side perforations 15 to enable it to be filed and classified.

Each area 10 is subdivided into three compartments ; namely a compartment 11 serving as a counterfoil and intended to remain on the sheet

1, a compartment corresponding to the label 12 serving as a non-delivery notice or a distribution proof, and a compartment corresponding to the label 13 serving as a receipt notice.

The counterfoil 11 is an elongated rectangle in the left hand portion of the area 10 and divided into two boxes, the larger one 110 receiving the bar code of the corresponding object and possibly the uncoded transcription of its identification number. The other box 111 comprises the printed words "Reason for non-distribution" with a space below for the distributing agent to enter the code corresponding to the reason for non-distribution. These details enable the distributing agent to carry out inspection of the return round and enter a deferred computer entry if his portable terminal were to break down.

The compartment 12 concerning a non-delivery notice or proof of distribution occupies the rest of the space of the area 10 below the box 11. It comprises the words "Associated services", "against payment" (francs and euros), "Date and sign at the time of withdrawal" and "Submitted on".

During printing of the list, the compartment 12 receives the following information derived from the bar code : the identification number of the object, the nature of the object, the nature of the service associated with the object, the name and address of the recipient, and the possible value of payment on delivery. In cases of anomaly concerning the code, this information can then be entered by hand. Apart from this information, the compartment 12 also receives the date of submission, the time being entered by the distributing agent.

During its round, if the compartment 12 is dated and signed by the recipient, it remains in place on the list so as to constitute a proof of distribution. It may also remain for certain reasons for non-distribution, such as an incident occurring during routing, these reasons then being shown in the associated counterfoil 11. If this is not the case, it is detached as a label to be



glued unsigned onto a card 2 as shown on figures 2 and 7, the card then being placed in a letter box as a withdrawal note.

The compartment 13 concerning the notice of receipt occupies the entire space of the area 10 to the right of the counterfoil 11 and the compartment 12. On the blank document, the compartment 13 has no entries,  
5 apart from the lines defining three cases 130, 131, 132. The information it contains when used is the bar code of the object and the transcription of its uncoded identification number in the case 130, the address of the recipient of the original sending with a diagonal bar in the case 131, the date of  
10 submission, a customer reference, the words "Date and sign", and the address of the recipient of the acknowledgement in the case 132.

When it is used, the compartment 13 is unglued from the list to be used as a label to be glued onto an acknowledgement notice card 3, as shown on figures 3 and 8. If it has been previously dated and signed, the card is then  
15 re-shipped. If not, the card is glued via its strip 33 onto the corresponding object which has not been distributed.

The compartments 12 and 13 are secondly advantageously differentiated by a colour with preferably white spaces being reserved for receiving information entered by the distributing agent and the recipient.

20 Figures 4 to 6 show an example of use of the distribution list of figure 1. On figure 4, it appears as it comes out after printing subsequent to a data entry with the aid of a portable terminal of the codes of all the dispatches belonging to a given round. It corresponds to a followed up object known as a "dilipack" in the second position, and three registered objects, two of which  
25 at the first and fourth positions with acknowledgement, the compartment 13 thus remaining free of print for the second and third positions.

Of course during its trip, in addition to the details he enters on the list, the distributing agent records in real time on his portable terminal the distribution of the objects or their non-distribution specifying the reasons.

The same list when it comes back, Figure 5, has its non-delivery notice labels 12 missing for the first and third objects, thus indicating that they have been glued onto a card 2 so as to constitute a withdrawal note and that the objects have not been distributed. The other two objects have been distributed and the proof of distribution compartment normally comprises the dated signature of the recipient, the same applying to the compartment 13 for the fourth object.

Finally, figure 6 shows the distribution list ready to be filed after which the notice of receipt labels 13 for the first and fourth objects have been removed to be glued onto notice of receipt cards 3, one of the latter then being glued onto the first object which remains undistributed, whereas the other corresponding to the fourth object is re-expedited.

On return, the distributing agent could therefore verify using his portable terminal the state of his distribution according to the objects remaining and any notes entered on the distribution lists which shall then be sent to a data entry and filing centre in a data base where they shall be completed with the deferred returns of information relating to the issued withdrawal notes. Said data base shall allow for considerably reduced search times compared with current search times and, because of the entering and storing of images of the list and withdrawal notes, it shall also allow restoration of document proving distribution proof signed in electronic form.

Apart from these advantages and those already mentioned, as well as a clearly increased follow-up reliability, it would now seem that the invention is clearly appropriate for the objectives referred to by providing among other things : a clear consumable reduction (especially when a distribution list would replace twelve bundle sheets) and thus a clear reduction of material costs to be also added to a reduction of the costs of preparation ; increased possibilities for the current mechanisation of the routing of objects and acknowledgements ; improvements in the work of distribution, such as the

computerised organisation of the list according to the order of the round,  
harmonisation of the procedures since the same list shall be common to an  
extremely wide range of standard objects, and a significant reduction of  
weight, as well a high flexibility of evolution, so as to satisfy new needs and  
5 requirements.

## CLAIMS

We claim:

1. List system intended as part of a computerised object follow-up for managing return information concerning the distribution of postal objects or objects sent by parcel post to their recipient in exchange for a proof of  
5 distribution, such as the signature, said system being characterised in that it includes :

- distribution lists for agents ensuring distribution, said lists being documents formed of a single sheet whose front side comprises,  
10 for allocation to an object, an area subdivided into compartments, including a counterfoil intended to remain on said sheet and for receiving via printing the information concerning said object in a code form, and a compartment able to be detached, either to remain on the document as proof of distribution or be detached so  
15 as to form a non-delivery notice label, and
- withdrawal note cards which are personalised by affixing to them, in a frame reserved for this purpose, said non-delivery notice label.

20 2. List system according to claim 1, characterised in that each of said areas comprises an additional compartment for constituting a second detachable notice of receipt label, a notice of receipt card also being provided and personalised by affixing said second label in a frame reserved for this purpose.

25 3. List system according to claim 1, characterised in that said distribution list comprises a plurality of areas in the form of vertically juxtaposed rectangles.

4. List system according to claim 1, characterised in that said sheet constituting the distribution list is an adhesive complex comprising a support back and a detachable self-adhesive film.

5            5. List system according to claim 1, characterised in that said sheet has a standard format so as to facilitate its filing.

6. List system according to claim 1, characterised in that said sheet comprises on one of its sides perforations enabling it to be classified.

**LIST SYSTEM FOR THE RETURN OF INFORMATION  
CONCERNING THE DISTRIBUTION OF ITEMS SENT BY MAIL OR  
PARCEL POST**

**Abstract of the Disclosure**

A list system for managing the return of information concerning the distribution of items sent by mail or parcel post to an addressee in exchange for proof of distribution includes distribution lists for distributing agents, the  
5 lists being formed of a single sheet whose front side comprises for allocation to an item an area subdivided into compartments, one counterfoil remaining on the sheet and for receiving via printing the information concerning the item in a code form, and one compartment so as either to remain on the document as proof of distribution or be detached from it so as to form a non-  
10 delivery notice label, and withdrawal note cards which are customized by affixing the non-delivery notice label.

I, the below named translator, hereby declare that :

My name and post office address are as stated below ;

I am conversant with the English and French languages and am a competent translator thereof. I declare further that to the best of my knowledge and belief the following is a true and correct translation of the as-filed International patent application N° **PCT/FR01/01002** filed on **April 04, 2001** in the name of **LA POSTE (Exploitant Public)**.

Signed this 31 day of October 2001.

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*as filed*

LIST SYSTEM FOR THE RETURN OF INFORMATION CONCERNING  
THE DISTRIBUTION OF ITEMS SENT BY MAIL OR PARCEL POST

5       The present invention concerns the processing of  
information relating to the distribution of postal or  
parcel post items. It is applicable to all cases when  
a signature is required from the addressee so as to  
constitute proof of distribution and in particular to  
10 registered       dispatches       with       and       without  
acknowledgement.

          The return of information concerning  
distribution by computer means is a dominant trend  
concerning the transport market. The invention has  
15 been embodied to fall within this context, that is in  
a system for the computer follow-up of items in which  
during handing in all the information useful for  
transport are transcribed into a bar code able to be  
read and recorded by portable distribution terminals  
20 held by the personnel concerned.

          At the current moment, the management of the  
return of information concerning distribution is  
ensured with the aid of paper lists, such as the list  
to send by post a registered object including on a  
25 self-adhesive rear side three sheets constituting  
respectively proof of handing in, notice of non-  
delivery and proof of distribution, plus as an option  
an additional sheet concerning acknowledgement.

          As currently made use of, that is basically  
30 manually, these paper lists have a certain number of  
drawbacks, namely in particular :



- their high cost price ;
- their multiplicity within the context of postal applications where there is a specific list for each particular service ;
- 5       - the impossibility of automating their processing on the sending and return of acknowledgements ;
- the lack of reliability concerning the return of acknowledgements, the address often being
- 10       incorrectly duplicated and unable to be exploited owing to their positioning at the bottom of the paper list, and also the light and fragile nature of said lists rendering them subject to deterioration or loss.

15       As the above list only represents some of these drawbacks, plus the fact that it would be necessary to design these forms in order to adapt them to said computer processing, it has been considered having said forms replaced by an entirely new product

20       constituting a more satisfactory global response, said product being particularly designed for a computer processing concerning object follow-up and having regard to the evolution possibilities of this computer processing.

25       Thus, within the context of a computerised follow-up of objects, the invention consists of a new list system for managing return information concerning the distribution of objects sent by postal means or parcel post to their addressee in exchange

30       for proof of distribution, such as the signature, said system being characterised in that it includes :

- distribution lists for agents ensuring distribution, said lists being documents formed of a single sheet whose front side comprises, for allocation to an object, an area subdivided into compartments including a counterfoil intended to remain on said sheet and receive via printing the information concerning said object in the form of a code, and a detachable compartment, either to remain on the document as proof of distribution or be detached so as to form a non-delivery notice label, and
- withdrawal note cards which are personalised via the affixing in a rectangular space reserved for this purpose of said non-delivery notice label.

According to another characteristic of the invention, each of said areas comprises an additional compartment for constituting a second detachable notice of receipt label, a notice of receipt card also being provided rendered personalised by affixing said second label in a rectangular space reserved for this purpose.

According to other preferential and/or advantageous characteristics of the invention:

- said distribution list comprises a plurality of areas in the form of vertically juxtaposed rectangles ;
- said sheet constituting the distribution list is an adhesive complex comprising a support back and a self-adhesive detachable film ;

- said sheet has a standard format to facilitate filing, and can comprise on one of its sides perforations to classify it.

These characteristics and advantages of the invention and others shall appear more clearly in the following description with reference to the accompanying drawings on which :

Figure 1 is a bird's eye view of a distribution list according to the invention prior to use and provided for the sending of postal objects to be signed on delivery ;

Figs 2 and 3 are bird's eye views respectively of a withdrawal note card and a notice of receipt card provided to be used with the distribution list of fig 1 ;

Figs 4, 5 and 6 are bird's eye views respectively illustrating by way of example a given list as it appears before the distributing agent goes on his round, when he returns from his round, and after processing following his round, and

Figs 7 and 8 are bird's eye views respectively of a non-delivery notice label and a receipt notice label which have been extracted from the list of figs 4 to 6 so as to be glued respectively onto a withdrawal notice card and a receipt notice card.

The list system shown on the drawings is intended to be used as part of a computerised follow-up of registered postal dispatches which have been initially marked directly or by means of a label of a code, here a bar code, which contains their identification and all the information useful in

routing them in particular conditions. In the distribution stage, the agents have a portable terminal enabling them to process the information relating to their intervention with the aid of said code present on the objects and with the list system of the present invention.

Said system comprises a distribution list shown on figure 1 in the form of a sheet 1, certain portions of said list being able to be detached so as to constitute labels 12 and 13 which are then used to be glued onto standard withdrawal note cards 2 and notice of receipt cards 3 for providing them with all the useful information concerning the dispatches concerned.

As shown on figs 3 and 4, the cards 2 and 3 are non-personalised before receiving their label in the rectangular space reserved for them, respectively 20 and 30. The withdrawal note card 2 has on its front side a second rectangular space 21 for receiving the address and telephone number of the post office and conventional information to be completed by the distributing agent, including any reason for non-distribution and information relating to withdrawal. The front side of the notice of receipt card 3 also has here a second frame 31 for receiving the date of distribution and in addition a lower indexing rectangular space 32 for computer reshipment processing. The cards 2 and 3 advantageously have the format of letter-cards and are differentiated by virtue of their colours which in practice can be those of their homologues of current multi-part forms

with reserved white spaces, said rectangular spaces 20, 21, 30-32 and other portions being intended to receive personalised information and notes. It is to be noted in addition that the notice of receipt card 5 3 comprises on one side a self-adhesive strip 33 able to be detached by tearing along a line of perforations.

With reference again to figure 1 showing the distribution list, the sheet 1 constituting it 10 advantageously has a standard format (21 and 29.7 cm) and is formed in an adhesive complex including a support back and a self-adhesive film able to detached from the latter. In the present case, the film shall be precut as shown by the bold lines so as 15 to selectively enable said labels 12 and 13 to be removed, whereas its other portions shall remain on the support back.

The sheet 1 is in fact a distribution list for a plurality of dispatches, namely four in the 20 embodiment shown, and to this effect has four superimposed rectangular areas 10 each intended to be allocated to one dispatch. The upper portion of the list above the areas 10 is reserved for the distributing agent to enter useful information 25 relating to its round, such as its identification number, its total number of objects, the number allocated to the list and the number of objects it applies to. Similarly, the lower portion of the list below the areas 10 comprises information, such as 30 codes for the reasons for non-distribution and their significance. As a variant and so as to provide

improved adaptability in relation to any possible changes, this information can only be entered during the final printing stage of the list. Secondly, the sheet 1 comprises on one side perforations 15 to enable it to be filed and classified.

Each area 10 is subdivided into three compartments ; namely a compartment 11 serving as a counterfoil and intended to remain on the sheet 1, a compartment corresponding to the label 12 serving as a non-delivery notice or a distribution proof, and a compartment corresponding to the label 13 serving as a receipt notice.

The counterfoil 11 is an elongated rectangle in the left hand portion of the area 10 and divided into two boxes, the larger one 110 receiving the bar code of the corresponding object and possibly the uncoded transcription of its identification number. The other box 111 comprises the printed words "Reason for non-distribution" with a space below for the distributing agent to enter the code corresponding to the reason for non-distribution. These details enable the distributing agent to carry out inspection of the return round and enter a deferred computer entry if his portable terminal were to break down.

The compartment 12 concerning a non-delivery notice or proof of distribution occupies the rest of the space of the area 10 below the box 11. It comprises the words "Associated services", "against payment" (francs and euros), "Date and sign at the time of withdrawal" and "Submitted on".

During printing of the list, the compartment 12 receives the following information derived from the bar code : the identification number of the object, the nature of the object, the nature of the service  
5 associated with the object, the name and address of the recipient, and the possible value of payment on delivery. In cases of anomaly concerning the code, this information can then be entered by hand. Apart from this information, the compartment 12 also  
10 receives the date of submission, the time being entered by the distributing agent.

During its round, if the compartment 12 is dated and signed by the recipient, it remains in place on the list so as to constitute a proof of distribution.  
15 It may also remain for certain reasons for non-distribution, such as an incident occurring during routing, these reasons then being shown in the associated counterfoil 11. If this is not the case, it is detached as a label to be glued unsigned onto a  
20 card 2 as shown on figures 2 and 7, the card then being placed in a letter box as a withdrawal note.

The compartment 13 concerning the notice of receipt occupies the entire space of the area 10 to the right of the counterfoil 11 and the compartment  
25 12. On the blank document, the compartment 13 has no entries, apart from the lines defining three cases 130, 131, 132. The information it contains when used is the bar code of the object and the transcription of its uncoded identification number in the case 130,  
30 the address of the recipient of the original sending with a diagonal bar in the case 131, the date of

submission, a customer reference, the words "Date and sign", and the address of the recipient of the acknowledgement in the case 132.

When it is used, the compartment 13 is unglued  
5 from the list to be used as a label to be glued onto an acknowledgement notice card 3, as shown on figures 3 and 8. If it has been previously dated and signed, the card is then re-shipped. If not, the card is glued via its strip 33 onto the corresponding object  
10 which has not been distributed.

The compartments 12 and 13 are secondly advantageously differentiated by a colour with preferably white spaces being reserved for receiving information entered by the distributing agent and the  
15 recipient.

Figures 4 to 6 show an example of use of the distribution list of figure 1. On figure 4, it appears as it comes out after printing subsequent to a data entry with the aid of a portable terminal of  
20 the codes of all the dispatches belonging to a given round. It corresponds to a followed up object known as a "dilipack" in the second position, and three registered objects, two of which at the first and fourth positions with acknowledgement, the  
25 compartment 13 thus remaining free of print for the second and third positions.

Of course during its trip, in addition to the details he enters on the list, the distributing agent records in real time on his portable terminal the  
30 distribution of the objects or their non-distribution specifying the reasons.



The same list when it comes back, Figure 5, has its non-delivery notice labels 12 missing for the first and third objects, thus indicating that they have been glued onto a card 2 so as to constitute a withdrawal note and that the objects have not been distributed. The other two objects have been distributed and the proof of distribution compartment normally comprises the dated signature of the recipient, the same applying to the compartment 13 for the fourth object.

Finally, figure 6 shows the distribution list ready to be filed after which the notice of receipt labels 13 for the first and fourth objects have been removed to be glued onto notice of receipt cards 3, one of the latter then being glued onto the first object which remains undistributed, whereas the other corresponding to the fourth object is re-expedited.

On return, the distributing agent could therefore verify using his portable terminal the state of his distribution according to the objects remaining and any notes entered on the distribution lists which shall then be sent to a data entry and filing centre in a data base where they shall be completed with the deferred returns of information relating to the issued withdrawal notes. Said data base shall allow for considerably reduced search times compared with current search times and, because of the entering and storing of images of the list and withdrawal notes, it shall also allow restoration of document proving distribution proof signed in electronic form.

Apart from these advantages and those already mentioned, as well as a clearly increased follow-up reliability, it would now seem that the invention is clearly appropriate for the objectives referred to by  
5 providing among other things : a clear consumable reduction (especially when a distribution list would replace twelve bundle sheets) and thus a clear reduction of material costs to be also added to a reduction of the costs of preparation ; increased  
10 possibilities for the current mechanisation of the routing of objects and acknowledgements ; improvements in the work of distribution, such as the computerised organisation of the list according to the order of the round, harmonisation of the  
15 procedures since the same list shall be common to an extremely wide range of standard objects, and a significant reduction of weight, as well a high flexibility of evolution, so as to satisfy new needs and requirements.

## CLAIMS

1. List system intended as part of a computerised object follow-up for managing return  
5 information concerning the distribution of postal objects or objects sent by parcel post to their recipient in exchange for a proof of distribution, such as the signature, said system being characterised in that it includes :

- 10       - distribution lists for agents ensuring distribution, said lists being documents formed of a single sheet (1) whose front side comprises, for allocation to an object, an area (10) subdivided into compartments,  
15       including a counterfoil (11) intended to remain on said sheet and for receiving via printing the information concerning said object in a code form, and a compartment (12) able to be detached, either to remain on the  
20       document as proof of distribution or be detached so as to form a non-delivery notice label, and  
      - withdrawal note cards (2) which are personalised by affixing to them, in a frame  
25       (20) reserved for this purpose, said non-delivery notice label (12).

2. List system according to claim 1, characterised in that each of said areas (10) comprises an additional compartment (13) for  
30 constituting a second detachable notice of receipt label, a notice of receipt card (3) also being

provided and personalised by affixing said second label in a frame (30) reserved for this purpose.

3. List system according to claim 1 or 2, characterised in that said distribution list (1) comprises a plurality of areas (10) in the form of vertically juxtaposed rectangles.

4. List system according to one of claims 1 to 3, characterised in that said sheet (1) constituting the distribution list is an adhesive complex comprising a support back and a detachable self-adhesive film.

5. List system according to one of claims 1 to 4, characterised in that said sheet (1) has a standard format so as to facilitate its filing.

6. List system according to one of claims 1 to 5, characterised in that said sheet (1) comprises on one of its sides perforations (15) enabling it to be classified.

## ABSTRACT TO THE DISCLOSURE

### LIST SYSTEM FOR THE RETURN OF INFORMATION CONCERNING THE DISTRIBUTION OF ITEMS SENT BY MAIL OR PARCEL POST

5

This list system for managing the return of information concerning the distribution of items sent by mail or parcel post to their addressee in exchange for proof of distribution includes distribution lists  
10 for distributing agents, said lists being formed of a single sheet (1) whose front side comprises for allocation to an item an area (10) subdivided into compartments, one counterfoil (11) remaining on said sheet and for receiving via printing the information  
15 concerning said item in a code form, and one compartment (12) so as either to remain on the document as proof of distribution or be detached from it so as to form a non-delivery notice label, and withdrawal note cards which are customised by  
20 affixing said non-delivery notice label.

Fig. 4

25

30

11

| round number<br>total number of objects with signature for the round<br>non-delivery notice label or proof of distribution |  | distribution list number<br>total number of objects of the list<br>acknowledgement label |     |
|--|--|--|-----|
| 111  | 110  | 130  | 131 |
| 12   | associated services<br>counter-payment<br>FRF<br>EUR | 132  | 13  |
| 15   | associated services<br>counter-payment<br>FRF<br>EUR |  | 10  |
| 11   | associated services<br>counter-payment<br>FRF<br>EUR |  | 10  |
| 12   | associated services<br>counter-payment<br>FRF<br>EUR |  | 13  |

1

Code à reporter dans le tableau approprié de la liste ci-dessous  
 1: table en introduction - BF: table en table partielle - C: table à composition globale - EA: tableau récapitulatif - R: récapitulatif - AT: tableau récapitulatif - RD: à reporter  
 de distribution DE: distribution globale - NH: à l'adresse plus - F: adresse indiquée - AI: adresse indiquée - RF: récapitulatif - ID: tableau récapitulatif - RD: tableau récapitulatif

FIG. 1

FIG. 2

2


**WITHDRAWAL NOTE**

I visited your home at the address shown opposite to give you a followed-up object. This was not delivered for the following reason:  
 Absent ☐ other reason: \_\_\_\_\_

You can withdraw this object from your post office on submitting a document proving your identity and this notice as from \_\_\_\_\_ at \_\_\_\_\_ hours and prior to expiry of the period retaining said object.

Counter-payment: ☐ YES (sum indicated opposite)

Post office:  
 Address:



**OBJECT FOLLOW UP**

20

notice label

Date of withdrawal:    /    /

**IMPORTANT INFORMATION ON BACK**

21

FIG. 7

JJFRA1P12345678901 Registered letter

Associated services *Leroy Roger*

22 16 allée du site agréable

75021 PARIS

Counter-payment

FRF \_\_\_\_\_

EUR \_\_\_\_\_

Procedural to 2342/2000

*1.40 K 12*

12

FIG. 3

3


**NOTICE OF RECEIPT OF YOUR DISPATCH**

33

31 Distributed on:

30

Signed acknowledgement label



Registered object

32

FIG. 8

JJFRA 1A12345678901

Procedural to 2342/2000

*2 23-02-2000*

*Duiz*

MAISONNERIE GENERALE  
 Mr. DUZUIS  
 2 ROUTE DES ENTREPRENEURS  
 93330 NOUILLY SUR MARNE

13





| round number : 000001   |  | distribution list number 001.001  |  |
|---|--|---|--|
| total number of objects with signature for the round : 004<br>non-delivery notice label or proof of distribution  |  | total number of objects of the list : 4<br>acknowledgement label  |  |
| <b>6</b><br><br><b>JJFRA 1G12345678901</b>  | <b>6</b><br><br><b>JJFRA 1G12345678901</b> | <b>Expanso Group</b><br><b>2 bis rue des biches</b><br><b>75021 Paris</b>   |  |
|   |  | <b>REF : 22778.076</b><br><b>submitted on : 02/11/1999</b><br><b>Order to sign</b>  |  |
|   |  | <b>LA POSTE DC / DEPC</b><br><b>N° BUREAU</b><br><b>2 Bd NEWTON</b><br><b>CHAMPS SUR MARNE</b><br><b>77433 MARNE LA VALLEE CEDEX 02</b>   |  |
| <b>6</b><br><br><b>9K12345678901</b>  | <b>6</b><br><br><b>9K12345678901</b>       |   |  |
| <b>9K12345678901</b> <b>Delight</b><br><b>associated services</b> <b>Durand Martins</b><br><b>CRST</b> <b>29 rue du bel air</b><br><b>75021 PARIS</b><br><b>counter-payment :</b><br><b>1000,00 FRF</b><br><b>132,45 EUR</b> <small>Order to sign from the network</small><br><b>23/02/2000</b> <b>626/02/2000</b><br><b>142K95</b> <i>[Signature]</i>                |  |   |  |
| <b>6</b><br><br><b>JJFRA 1F12345678901</b>  | <b>6</b><br><br><b>JJFRA 1F12345678901</b> |   |  |
|   |  |   |  |
|   |  |   |  |
| <b>6</b><br><br><b>JJFRA 1A12345678901</b>  | <b>6</b><br><br><b>JJFRA 1A12345678901</b> | <b>Acromavich Igor</b><br><b>20 allée du site agréable</b><br><b>75021 Paris</b>  |  |
| <b>JJFRA 1A12345678901</b> <b>registered letter</b><br><b>associated services</b> <b>Acromavich Igor</b><br><b>RI - AR</b> <b>20 allée du site agréable</b><br><b>75021 PARIS</b><br><b>counter-payment :</b><br><b>FRF</b><br><b>- EUR</b> <small>Order to sign from the network</small><br><b>23/02/2000</b> <b>626-02-2000</b><br><b>142K95</b> <i>[Signature]</i> |  | <b>REF :</b><br><b>submitted on : 23/02/2000</b><br><b>Order to sign :</b><br><b>626-02-2000</b><br><b>Signature</b><br><b>RACONNERIE GENERAL</b><br><b>N° BUREAU</b><br><b>2 ROUTE DES ENTREPRENEURS</b><br><b>93330 NOUILLY SUR MARNE</b> |  |

FIG. 5

[illegible]

**DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION**  
**(37 CFR 1.63)**

- ☒ Declaration Submitted with Initial Filing  
OR  
☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)

Attorney Docket Number: 136.167  
First Named Inventor: Sylvain LAMBERT  
**COMPLETE IF KNOWN**  
Application Number: \_\_\_\_\_  
Filing Date: \_\_\_\_\_  
Group Art Unit: \_\_\_\_\_  
Examiner Name: \_\_\_\_\_

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**LIST SYSTEM FOR THE RETURN OF INFORMATION CONCERNING THE DISTRIBUTION OF ITEMS**  
the specification of which **SENT BY MAIL OR PARCEL POST**

☒ is attached hereto

OR

☐ was filed on \_\_\_\_\_ as United States Application Number or PCT International Application Number  
\_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT International application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application(s)   | Priority Not<br>Claimed  | Certified Copy<br>Attached?   |
|--|--------------------------|---|
| <u>00 04807</u> <u>France</u> <u>April 14, 2000</u><br>(Number)      (Country)      (Month/Day/Year Filed) | <input type="checkbox"/> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| _____<br>(Number)      (Country)      (Month/Day/Year Filed)   | <input type="checkbox"/> | <input type="checkbox"/> Yes <input type="checkbox"/> No            |
| _____<br>(Number)      (Country)      (Month/Day/Year Filed)   | <input type="checkbox"/> | <input type="checkbox"/> Yes <input type="checkbox"/> No            |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

|   |   |  |
|---|---|--|
| <u>                    </u><br>(Application Number) | <u>                    </u><br>(Month/Day/Year Filed) | <input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto. |
| <u>                    </u><br>(Application Number) | <u>                    </u><br>(Month/Day/Year Filed) |  |

## DECLARATION – Utility or Design Patent Application

Inventor(s): Sylvain LAMBERT

Title: List system for the return of information concerning the distribution of items sent by mail or parcel post.

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to the patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

U.S. Parent Application or PCT Parent Application(s)

PCT/FR01/01002

April 04, 2001

(Number)

(Month/Day/Year Filed)

(Patent Number (if applicable))

(Number)

(Month/Day/Year Filed)

(Patent Number (if applicable))

☐ Additional U.S. or PCT International application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of Sole or First Inventor:

☐ A petition has been filed for this unsigned inventor

Given Name (first & middle [if any]) & Family Name/Surname: Sylvain LAMBERT

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Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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Post Office Address: \_\_\_\_\_

(city, state, zip, country): \_\_\_\_\_

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

National Phase of PCT/FR00/01002

International Filing Date: 4 April 2001

Inventor: Sylvain Lambert

Title: *List System for the Return of Information Concerning the Distribution of Items Sent by Mail or Parcel Post*

Priority: French Application No. 00 04807; Filed April 14, 2000

Attorney Docket: 136.167

Customer No. 023907

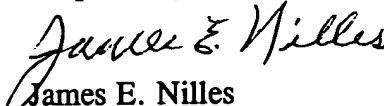
INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
DO/EO/US  
Washington DC 20231

Sir:

This information disclosure statement is being submitted simultaneously with the filing of the above application under the provisions of 37 C.F.R. § 1.97 and § 1.98. A copy of the International Search Report, Form PTO-1449, and the listed references are enclosed.

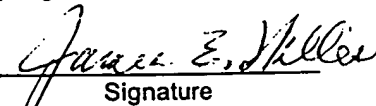
Respectfully submitted,

  
James E. Nilles  
Registration No. 16,663

Dated: December 13, 2001

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|  |    |                 |         |                          |       |            |                               |
|--|----|-----------------|---------|--------------------------|-------|------------|-------------------------------|
| Form PTO-1449 (Modified)<br><br><b>LIST OF PATENTS AND PUBLICATIONS FOR<br/>APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b><br>(Use several sheets if necessary)  |    |                 |         | Atty. Docket No. 136.167 |       | Serial No. |                               |
|  |    |                 |         | Applicant: Lambert       |       |            |                               |
|  |    |                 |         | Filing Date: 12/13/01    |       | Group      |                               |
| REFERENCE DESIGNATION  |    |                 |         | U.S. PATENT DOCUMENTS    |       |            |                               |
| Examiner<br>Initial  |    | Document Number | Date    | Name                     | Class | Subclass   | Filing Date If<br>Appropriate |
|  | AA | 5,520,990       | 05/1996 | Rotermund                | 428   | 195        |                               |
|  | AB |                 |         |                          |       |            |                               |
|  | AC |                 |         |                          |       |            |                               |
|  | AD |                 |         |                          |       |            |                               |
|  | AE |                 |         |                          |       |            |                               |
|  | AF |                 |         |                          |       |            |                               |
|  | AG |                 |         |                          |       |            |                               |
|  | AH |                 |         |                          |       |            |                               |
|  | AI |                 |         |                          |       |            |                               |
|  | AJ |                 |         |                          |       |            |                               |
| FOREIGN PATENT DOCUMENTS   |    |                 |         |                          |       |            |                               |
|  |    | Document Number | Date    | Country                  | Class | Subclass   | Translation                   |
|  |    |                 |         |                          |       |            | Yes    No                     |
|  | AK |                 |         |                          |       |            |                               |
|  | AL |                 |         |                          |       |            |                               |
|  | AN |                 |         |                          |       |            |                               |
|  | AO |                 |         |                          |       |            |                               |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)   |    |                 |         |                          |       |            |                               |
|  | AP |                 |         |                          |       |            |                               |
| EXAMINER   |    |                 |         | DATE CONSIDERED          |       |            |                               |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |    |                 |         |                          |       |            |                               |

|  |  |   |
|--|--|---|
| Form PTO-1595<br>(Rev. 03/01)<br>OMB No. 0651-0027 (exp. 5/31/2002)<br>Tab settings ⇌ ⇌ ⇌  | <b>RECORDATION FORM COVER SHEET</b><br><b>PATENTS ONLY</b>   | U.S. DEPARTMENT OF COMMERCE<br>U.S. Patent and Trademark Office |
| T the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.   |  |   |
| 1. Name of conveying party(ies):<br><u>Sylvain Lambert</u><br><br>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input type="checkbox"/> No  | 2. Name and address of receiving party(ies)<br>Name: <u>La Poste (Exploitant Public)</u><br>Internal Address: _____<br>_____<br>Street Address: <u>4, quai du Point du Jour</u><br>_____<br>City: <u>Boulogne Cedex</u> State: <u>France</u> Zip: <u>92777</u><br>Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No         |   |
| 3. Nature of conveyance:<br><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger<br><input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name<br><input type="checkbox"/> Other _____<br><br>Execution Date: <u>November 27, 2001</u>  | 4. Application number(s) or patent number(s):<br>If this document is being filed together with a new application, the execution date of the application is: <u>11/27/01</u><br>A. Patent Application No.(s)                      B. Patent No.(s)<br><br>Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                |   |
| 5. Name and address of party to whom correspondence concerning document should be mailed:<br>Name: <u>James E. Nilles</u><br>Internal Address: <u>Nilles &amp; Nilles, S.C.</u><br><u>Firststar Center, Suite 2000</u><br>_____<br>Street Address: <u>777 East Wisconsin Avenue</u><br>_____<br>City: <u>Milwaukee</u> State: <u>WI</u> Zip: <u>53202</u>  | 6. Total number of applications and patents involved: <u>1</u><br>7. Total fee (37 CFR 3.41).....\$ <u>40.00</u><br><input checked="" type="checkbox"/> Enclosed<br><input checked="" type="checkbox"/> Authorized to be charged to deposit account any deficiency.<br>8. Deposit account number:<br><u>14-1080</u><br>(Attach duplicate copy of this page if paying by deposit account) |   |
| <b>DO NOT USE THIS SPACE</b>   |  |   |
| 9. Statement and signature.<br><i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i><br><div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 30%;"> <u>James E. Nilles</u><br/>           Name of Person Signing         </div> <div style="width: 30%; text-align: center;"> <br/>           Signature         </div> <div style="width: 30%; text-align: right;"> <u>December 12, 2001</u><br/>           Date         </div> </div> <div style="text-align: right; margin-top: 10px;">         Total number of pages including cover sheet, attachments, and documents: <u>2</u> </div> |  |   |

ASSIGNMENT

WHEREAS, we, Sylvain LAMBERT,  
 have made a certain new and useful invention for which we are about to make application for Letters Patent of the  
 United States, which application may be identified in the United States Patent Office as Serial No. \_\_\_\_\_,  
 filed \_\_\_\_\_, and entitled: List system for the return of information  
concerning the distribution of items sent by mail or parcel post.

(Executed: November 27, 2001)

WHEREAS, LA POSTE (Exploitant Public), a corporation  
 organized and existing under and by virtue of the laws of France and having its  
 principal place of business at 4 Quai du Point du Jour, 92777 BOULOGNE Cedex  
(France), is desirous of acquiring the entire  
 interest in and to said invention, said application and the Letters Patent to be obtained therefor;

NOW, THEREFORE, for and in consideration of One Dollar and other good and valuable consideration to us in  
 hand paid, the receipt and sufficiency whereof are hereby acknowledged, we have sold, assigned, and set over and  
 by these presents do hereby sell, assign, and set over unto the said LA POSTE (Exploitant Public)  
 \_\_\_\_\_, said assignee's legal representatives, successors and assigns, the entire right, title and  
 interest in and to any and all applications including the aforesaid application for Letters Patent heretofore and  
 hereafter filed in the United States or any other country and which may be based in whole or in part on said  
 inventions and discoveries, and in and to any and all Letters Patent heretofore or hereafter granted by the United  
 States or any other country and which may be based in whole or in part on said inventions and discoveries, said  
 assignment including the right to file and prosecute any and all such applications and also including the right to sue  
 and recover for any and all infringements of said patents; and request the Commissioner of Patents to issue said  
 Letters Patent to the above-mentioned assignee agreeably with the terms of this assignment.

THE UNDERSIGNED HEREBY GRANT the law firm of Nilles & Nilles, S.C. the power to insert in this  
 instrument any further identification which may be necessary or desirable in order to comply with the rules of the  
 United States Patent Office for recordation of this document.

UPON SAID CONSIDERATION, we do hereby covenant for ourselves and our heirs, legal representatives and  
 assigns that neither we nor any of our said heirs, legal representatives or assigns have or will execute any instrument  
 or perform any act in conflict herewith and that we or our said heirs, legal representatives and assigns will at all  
 times do such acts and execute such papers, without expense to ourselves, as may be necessary or desirable in order  
 to fully protect said inventions and discoveries for the benefit of said assignee, its successors or assigns, and to  
 otherwise carry into full force and effect the text and interest of this assignment.

IN WITNESS WHEREOF, we have hereunto set our hands and affixed our seals.

Date: 27 November 2001

Sylvain LAMBERT :  (SEAL)

Date: \_\_\_\_\_ (SEAL)

Date: \_\_\_\_\_ (SEAL)



NILLES & NILLES, S.C.  
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777 E. WISCONSIN AVE., SUITE 2000  
MILWAUKEE, WI 53202-5345

FIRSTAR BANK MILWAUKEE, N.A.  
MILWAUKEE, WI 53202  
12-2750

47411

DATE

AMOUNT

12/12/01

\*\*\*\*\*\$890.00

PAY \*\*\* EIGHT HUNDRED NINETY & 00/100 DOLLARS

TO THE ORDER OF: Assistant Commissioner for Patents

Filing Fee - 136.167

*James E. Nilles*  
AUTHORIZED SIGNATURE

SECURITY FEATURES INCLUDED. DETAILS ON BACK.

⑈047411⑈ ⑆075000022⑆ ⑈112486 439⑈

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MILWAUKEE, WI 53202-5345

FIRSTAR BANK MILWAUKEE, N.A.  
MILWAUKEE, WI 53202-5302  
12-2750

47412

DATE

AMOUNT

12/12/01

\*\*\*\*\*\$40.00

PAY \*\*\* FORTY & 00/100 DOLLARS

TO THE ORDER OF: Assistant Commissioner for Patents

Assignment recordal 136.167

*James E. Nilles*  
AUTHORIZED SIGNATURE

SECURITY FEATURES INCLUDED. DETAILS ON BACK.

⑈047412⑈ ⑆075000022⑆ ⑈112486 439⑈

National Phase PCT/FR00/01002

Re: U.S. Patent Application for List System for the Return of Information Concerning the Distribution of Items Sent by Mail  
Inventor(s): Lambert or Parcel Post  
Assignee: La Poste (Exploitant Public)  
Priority: French Appln. 00 04807: April 14, 2000  
EL844879236US

The following has been received in the U.S. Patent Office on the DATE STAMPED hereon and assigned SERIAL NO.

Transmittal letter dated 12/13/01, enclosing:

- 11 pages of Specification
- 6 Claims
- ☒ Abstract of the Disclosure
- ☒ copy of 5 sheet(s) of formal/~~informal~~ patent drawings
- ☒ Combined Declaration, Petition & Power of Attorney
- ☐ Verified Statement Claiming Small Entity Status
- ☒ Assignment document and check in the amount of \$ 40 & recordal sheet
- ☒ Check in the amount of \$ 890.00
- ☐ Priority Document
- ☒ Other Prel. Amend., substitute spec, claims, abstract (12 pp)  
IDS, Int'l Search Report, references